



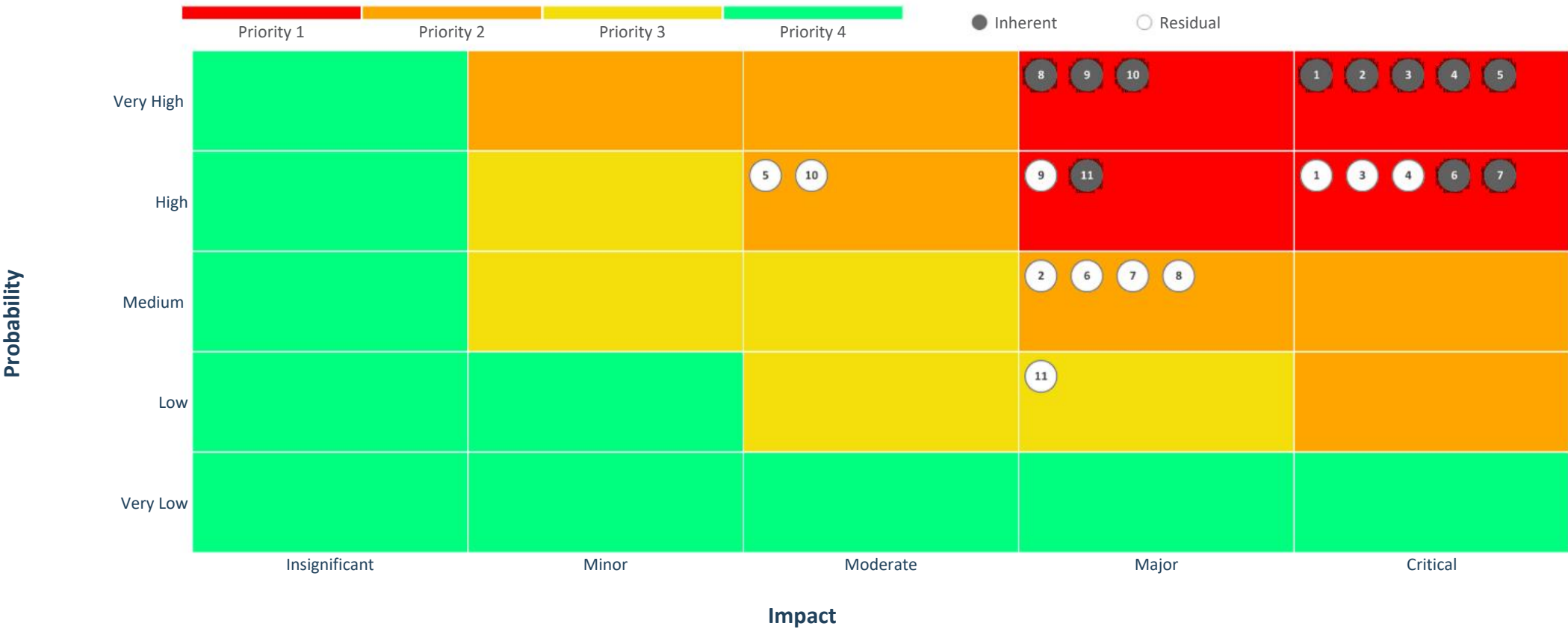
Heatmap Report

PKC

camms**risk**

Print Date: 16-Jun-2023

HEATMAP



RISK SUMMARY

Strategic

No.	Risk Title	Inherent	Residual	Trend
4	SRCP-001 - We fail to protect children and vulnerable adults from harm	Priority 1	Priority 1	↔
	Risk Comment: -			
1	SRCP-002 - We fail to mitigate or reduce the impact of climate change in Perth and Kinross	Priority 1	Priority 1	↔
	Risk Comment: -			
3	SRCP-003 - The economy in Perth & Kinross does not grow in an inclusive and sustainable way	Priority 1	Priority 1	↔
	Risk Comment: -			
9	SRCP-004 - Our actions to tackle poverty and address the inequalities gap within Perth & Kinross are ineffective	Priority 1	Priority 1	↔
	Risk Comment: -			
10	SRCP-005 - We do not design and deliver the sustainable public services that our communities need	Priority 1	Priority 2	↔
	Risk Comment: -			
2	SRCP-006 - The security (that is, the confidentiality, integrity, availability and resilience) of the Council's data is compromised	Priority 1	Priority 2	↔
	Risk Comment: -			
6	SRCP-007 - Our operational response (in a non-public health related emergency situation) is inadequate or ineffective	Priority 1	Priority 2	↔
	Risk Comment: -			
5	SRCP-008 - There are insufficient financial resources to provide the services that our communities need.	Priority 1	Priority 2	↔
	Risk Comment: -			
8	SRCP-009 - We have insufficient capacity and skills within the workforce to deliver the services that our communities need	Priority 1	Priority 2	↔
	Risk Comment: -			
7	SRCP-010 - Council buildings and other assets are not safe, fit for purpose or providing best value	Priority 1	Priority 2	↔
	Risk Comment: -			

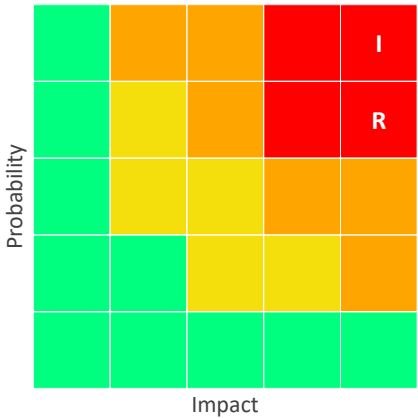
No.	Risk Title	Inherent	Residual	Trend
11	SRCP-011 - The health and safety of staff and the public is not adequately protected	Priority 1	Priority 3	↔
Risk Comment: -				

RISK OVERVIEW

Strategic

SRCP-001 We fail to protect children and vulnerable adults from harm				
Risk Category: People / Human Resource, Audit, Legislation and Compliance		Risk Owner: Thomas Glen	Secondary Responsible Persons: Jacqueline Pepper	Last Reviewed Date: 16 Jun, 2023
Next Review Date: 01 Apr, 2024				
Organisation > Chief Executive's Services				
Organisation > Communities				
Organisation > Corporate and Democratic Services				
Organisation > Education and Children’s Services				
Organisation > Education and Children’s Services > Services for Children, Young People and Families				
Organisation > Perth and Kinross Health and Social Care Partnership				
Organisation > Perth and Kinross Health and Social Care Partnership > Adult Social Work/ Social Care				

Individual Heatmap



I Inherent Risk Assessment
R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Effective

Causes

- Evolving and complex legislative landscape
- Failure to align and prioritise budgets and resources to need
- Failure to develop a sense of collective responsibility (both within and out-with the Council)
- Inadequate/ poor quality data and business intelligence
- Incohesive partnership working (eg ineffective communication and data sharing)
- Increasing vulnerabilities and complexities in terms of need across our communities
- insufficient resource and capacity

Existing Risk Controls



Control Title	Control Owner	Control Effectiveness	Next Review Date
PKC Child Protection Processes/Policies/Procedures	Jacqueline Pepper	Effective	01 Oct, 2023
Robust internal governance and assurance systems	Jacqueline Pepper	Effective	01 Apr, 2024
Tayside Regional Collaborative Priority Group for Safeguarding and Child Protection	Sheena Devlin	Effective	01 Jul, 2024
Multi-agency Child Protection Committee	Jacqueline Pepper	Effective	01 Apr, 2024
Multi-agency Adult Protection Committee	Jacqueline Pepper	Effective	01 Apr, 2024
PKC Adult Support Protection Processes/Policies/Procedures	Jacqueline Pepper	Effective	01 Oct, 2023
Multi-agency public protection Chief Officers Group	Thomas Glen	Effective	01 Sep, 2023

Consequences

- Increased pressure on council services and other parts of the public sector
- Increasing failure demand and resources wasted on ineffective interventions
- Legal /financial claims and penalties for breach of duties and/or injury
- Poorer health and social wellbeing outcomes for communities
- Reputational damage/loss of public confidence
- Significant harm to individuals

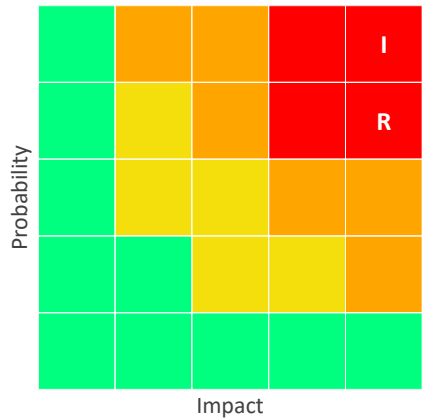
Risk Actions



Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Compile Adult Protection 2022/23 annual report and improvement plan and present to Adult Protection Committee, Council and IJB	Jacqueline Pepper	In Progress	50	31 Oct, 2023	 GREEN
Implement the Scottish Government's refreshed National Guidance for Child Protection	Hazel Robertson	In Progress	75	31 Oct, 2023	 GREEN

SRCP-002 We fail to mitigate or reduce the impact of climate change in Perth and Kinross				
Risk Category: Environment, Audit, Legislation and Compliance		Risk Owner: Barbara Renton	Secondary Responsible Persons: Serge Merone	Last Reviewed Date: 16 Jun, 2023 Next Review Date: 01 Apr, 2024
Organisation > Chief Executive's Services				
Organisation > Communities				
Organisation > Communities > Planning and Development				
Organisation > Corporate and Democratic Services				
Organisation > Education and Children's Services				
Organisation > Perth and Kinross Health and Social Care Partnership				

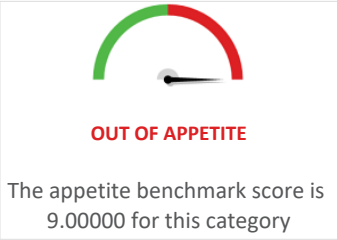
Individual Heatmap



I Inherent Risk Assessment
R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Adequate

Risk Appetite



Causes

- A lack of leadership and accountability
- Energy inefficiency
- Failure to develop a sense of collective responsibility (both within and out-with the Council)
- Failure to influence culture and behaviour
- Failure to respond appropriately to evolving statutory duties & responsibilities
- Inadequate planning/ failure to prioritise and align appropriate resource
- Inadequate resources and capacity
- Ineffective /inefficient asset management
- The current economic climate







Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Corporate Plan	Barbara Renton	Effective	01 Apr, 2024
Climate Change Strategy and Action Plan	Barbara Renton	Adequate	01 Apr, 2024
National and Local Key Performance Indicators	Barbara Renton	Adequate	01 Apr, 2024
Perth and Kinross Climate Change Commission	Barbara Renton	Improvement Required	01 Apr, 2024
Climate Carbon Working Groups	Barbara Renton	Effective	01 Apr, 2024
Climate Change engagement plan	Barbara Renton	Adequate	01 Apr, 2024
Climate Change Board	Serge Merone	Adequate	01 Apr, 2024
Climate Change and Sustainability Committee and Convenor's meeting	Barbara Renton	Effective	01 Apr, 2024

Risk Actions

Consequences

- Detrimental impact on environmental, health and wellbeing outcomes across our community
- Failure to meet our climate reduction targets and responsibilities, with potential legislative penalties
- Failure to reduce carbon footprint
- Increase in occurrence of adverse weather events
- Increased inequalities across communities
- Inflated investment requirements due to not taking early action
- Reputational damage/loss of public confidence

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Identify non-technical barriers and options to better engage rural communities and areas with multiple deprivation	Serge Merone	Not Started	0	31 Mar, 2024	 RED
Produce Climate Change Action Plan annual progress report and review indicators' effectiveness	Serge Merone	In Progress	40	31 Dec, 2023	 GREEN
Review and address CC Internal Audit recommendations	Barbara Renton	In Progress	10	30 Sep, 2023	 RED
Review of membership and participation in Climate Change Commission	Serge Merone	In Progress	20	31 Dec, 2023	 GREEN
Review procedures to produce prioritised and costed list of actions to be considered through Action Plan and budget review process and carry out Climate Change budget screening	Serge Merone	Not Started	0	31 Aug, 2023	 RED
Review roles and remits between Climate Change Board, SMT'S, CMG and ELT	Serge Merone	Not Started	0	30 Sep, 2023	 RED

SRCP-003

The economy in Perth & Kinross does not grow in an inclusive and sustainable way

Risk Category: Finance, People / Human Resource	Risk Owner: Barbara Renton	Secondary Responsible Persons: David Littlejohn	Last Reviewed Date: 16 Jun, 2023	Next Review Date: 01 Apr, 2024
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Organisation > Chief Executive's Services

Organisation > Communities

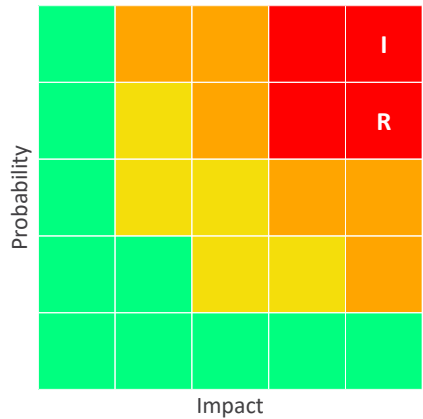
Organisation > Communities > Planning and Development

Organisation > Corporate and Democratic Services

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap



I Inherent Risk Assessment
R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Adequate

Risk Appetite



Causes

- Failure to continue to resource the delivery of the Economic Wellbeing Plan
- Failure to identify relevant factors impacting local economic resilience and develop strategies to support local economy
- Failure to maximise on opportunities presented through the Tay Cities Deal and other UK/SG funds
- Forecasted lengthy economic recession
- The current economic climate, including the fallout from the Russia-Ukraine war, global supply chain issues and ongoing uncertainties following withdrawal from the EU





Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Ongoing monitoring of local economy through relevant data	David Littlejohn	Effective	01 Apr, 2024
Tay Cities Deal	Barbara Renton	Effective	30 Sep, 2023
Local Employability Partnership	Barbara Renton	Improvement Required	31 Dec, 2023
Scottish Local Authorities’ Economic Development (SLAED) Group	Barbara Renton	Effective	31 Aug, 2023
UK Shared Prosperity Fund	Barbara Renton	Adequate	31 Dec, 2023
National Strategy for Economic Transformation	Barbara Renton	Effective	01 Apr, 2024
Regional Economy Strategy	Barbara Renton	Effective	31 Dec, 2023
Perth and Kinross Economic Wellbeing Plan & Taskforce	Barbara Renton	Adequate	30 Sep, 2023

Risk Actions

Consequences

- Decline in housebuilding, business expansion and investment
- Increased failure demand and resources being wasted on ineffective interventions
- Increased poverty/inequalities across our communities
- Population and economic decline
- Rising unemployment or more poorly paid employment and a lack of positive destinations for school leavers

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Accelerated delivery of step change projects (e.g., Perth West)	Barbara Renton	In Progress	10	01 Apr, 2024	 RED
Review of Wellbeing Plan underway to ensure it still meets the set objectives	David Littlejohn	In Progress	10	30 Sep, 2023	 RED
Targeted partnership work between ECS and SDS to support school leavers into positive destinations	Barbara Renton	In Progress	60	31 Mar, 2024	 GREEN
UK Shared Prosperity Fund Investment Plan	Barbara Renton	In Progress	10	01 Apr, 2024	 RED

SRCP-004

Our actions to tackle poverty and address the inequalities gap within Perth & Kinross are ineffective

Risk Category: People / Human Resource, Finance

Risk Owner: Clare Mailer

Secondary Responsible Persons: Barbara Renton, Karen Donaldson, Sheena Devlin

Last Reviewed Date: 16 Jun, 2023

Next Review Date: 01 Apr, 2024

Organisation > Chief Executive's Services

Organisation > Communities

Organisation > Corporate and Democratic Services

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap

Probability

I

R

Impact

I

Inherent Risk Assessment

R

Residual Risk Assessment

Effectiveness of control

I

N/A

R

Adequate

Risk Appetite

OUT OF APPETITE

The appetite benchmark score is 5.00000 for this category

Causes

- Failure to align and prioritise budgets with locality and local demographic needs
- Failure to plan and resource effective interventions to address needs
- Incohesive partnership working
- Low wage and in work poverty
- Rising costs (including food, fuel, housing)
- The current economic climate and cost of living crisis

Consequences

- A widening of the inequalities gap within Perth and Kinross
- An increasing demand for services, which the Council may be unable to meet
- Poor or reduced health, social and economic wellbeing outcomes within our communities
- Pressure on statutory services
- Reduction in Council income

Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Transformation and Change Programme	Clare Mailer	Adequate	01 Aug, 2023
Child Poverty Project Team	Clare Mailer	Adequate	25 Apr, 2024
Anti-poverty task force	Clare Mailer	Adequate	27 Jul, 2023
Local Child Poverty Action Plan	Clare Mailer	Adequate	01 Sep, 2023
Welfare Rights - income maximisation	Alan Taylor	Effective	01 Jun, 2024
Economic Wellbeing Plan	David Littlejohn	Adequate	01 Apr, 2024
Governance and internal control arrangements	Clare Mailer	Adequate	01 Apr, 2024
Joint Welfare Reform Steering Group	Alan Taylor	Adequate	01 Apr, 2024
Local Outcomes Improvement Plan	Fiona Robertson	Adequate	01 Apr, 2024




Risk Actions

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Consolidation of budgetary information in relation to poverty to allow oversight of budgets and expenditure.	Clare Mailer	In Progress	30	30 Sep, 2023	<div><div></div><div></div><div></div><div></div><div></div></div> RED

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Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Development of a cash-first approach	Clare Mailer	In Progress	20	01 Jun, 2025	 GREEN
Development of Good Food Strategy	Mark Butterworth	In Progress	40	01 Jun, 2024	 GREEN
New data project which will help align areas of need with resources at a more granular level	Carole Hendry	In Progress	10	01 Jun, 2024	 GREEN

SRCP-005

We do not design and deliver the sustainable public services that our communities need

Risk Category: Reputation and Public Image, People / Human Resource	Risk Owner: Clare Mailer	Secondary Responsible Persons: Charlene Guild, Fiona Robertson	Last Reviewed Date: 16 Jun, 2023	Next Review Date: 01 Apr, 2024
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Organisation > Chief Executive's Services

Organisation > Chief Executive's Services > Innovation

Organisation > Communities

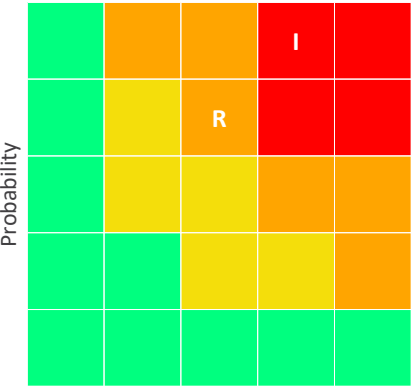
Organisation > Communities > Culture and Communities

Organisation > Corporate and Democratic Services

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap

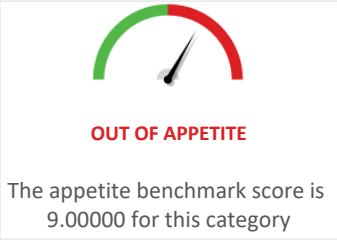


I Inherent Risk Assessment

R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Adequate

Risk Appetite



Causes

- Failure to develop and expand community connections and relationships
- Failure to effect the necessary cultural change within the organisation to implement new ways of working
- Failure to engage effectively local communities to better identify need
- Failure to prioritise/align financial resources to need
- Inadequate local population data and business intelligence
- Incohesive partnership working (eg ineffective communication and data sharing)
- Insufficient resources and capacity





Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Transformation and Change Board	Thomas Glen	Adequate	01 Sep, 2023
Financial Management and internal control	Stewart MacKenzie	Effective	31 Oct, 2023
Community engagement processes/mechanisms	Charlene Guild	Adequate	25 Apr, 2024
Equalities Mainstreaming Report	Charlene Guild	Effective	01 Jun, 2025
Corporate Plan 2022-27	Clare Mailer	Adequate	04 Oct, 2023
Transformation and Change Strategy and Implementation Plan	Thomas Glen	Adequate	22 Jun, 2023
The PK Offer framework	Charlene Guild	Adequate	25 Apr, 2023
Local Action Partnerships - resources and governance arrangements	Fiona Robertson	Adequate	31 Dec, 2023
Local Action Partnerships	Fiona Robertson	Adequate	25 Apr, 2024
Community Planning Partnership Board	Fiona Robertson	Adequate	31 Mar, 2024

Risk Actions

Consequences

- A widening of the inequalities gap within Perth and Kinross
- Failure to comply with statutory duties
- Increased failure demand and resources being wasted on ineffective interventions
- Lack of confidence in Council / reputational loss
- Poor or reduced health, social and economic wellbeing outcomes within our communities

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Development and roll out of locality based, multi-disciplinary working groups	Clare Mailer	In Progress	20	01 May, 2025	 GREEN
Phase 1 transformation and change programme projects	Clare Mailer	In Progress	35	31 Mar, 2024	 AMBER
Review approach to community engagement	Clare Mailer	In Progress	30	01 Apr, 2025	 AMBER
Review of CPP delivery arrangements	Fiona Robertson	In Progress	10	31 Mar, 2024	 RED

SRCP-006

The security (that is, the confidentiality, integrity, availability and resilience) of the Council’s data is compromised

Risk Category: Information Technology and Security, Audit, Legislation and Compliance

Risk Owner: Karen Donaldson

Secondary Responsible Persons: Alan Taylor, Lisa Simpson

Last Reviewed Date: 16 Jun, 2023

Next Review Date: 01 Apr, 2024

Organisation > Chief Executive's Services

Organisation > Communities

Organisation > Corporate and Democratic Services

Organisation > Corporate and Democratic Services > IT & Revenues

Organisation > Corporate and Democratic Services > Legal & Governance Services

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap








Probability

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Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
PSN accreditation	Lisa Simpson	Effective	08 Aug, 2023
Technical security controls	Alan Taylor	Effective	08 Aug, 2023
24/7 Security Operations Centre	Alan Taylor	Effective	08 Aug, 2023

Risk Actions

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Annual Cyber Incident Response Plan testing / review feedback from cyber related incidents and exercises	Khopolo Jamangile	In Progress	40	31 Mar, 2024	 GREEN
Implement key enhanced MS365 security features	Dave Adams	In Progress	10	31 Dec, 2024	 RED
Implementation of new phishing simulation / training solution and monitoring for effectiveness	Khopolo Jamangile	In Progress	80	31 Mar, 2024	 GREEN
Refreshed Data Protection training	Jillian Walker	In Progress	10	31 Mar, 2024	 GREEN
Review / revision of ISMS policies, standards and guidance	Khopolo Jamangile	In Progress	10	31 Mar, 2024	 RED
Review / revision of technical business continuity procedures	Dave Adams	Not Started	0	30 Jun, 2024	 GREEN
Review / test, data and information security controls for remote / hybrid working	Khopolo Jamangile	In Progress	40	31 Dec, 2024	 GREEN

SRCP-007

Our operational response (in a non-public health related emergency situation) is inadequate or ineffective

Risk Category: Property and Assets, People / Human Resource

Risk Owner: Thomas Glen

Secondary Responsible Persons: Fraser Crofts

Last Reviewed Date: 16 Jun, 2023

Next Review Date: 01 Apr, 2024

Organisation > Chief Executive's Services

Organisation > Communities

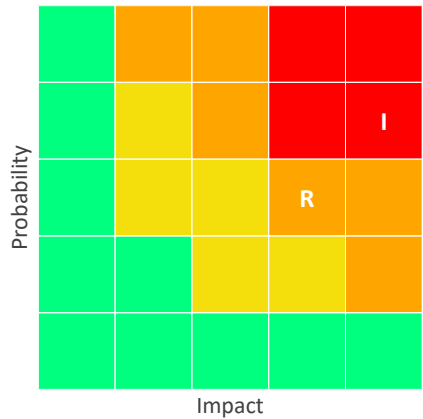
Organisation > Communities > Business and Resources

Organisation > Corporate and Democratic Services

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap



I Inherent Risk Assessment

R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Adequate

Risk Appetite



Causes

- A lack of leadership and accountability
- Failure to test civil contingency/business continuity plans and processes
- Inadequate civil contingency/business continuity plans to cover relevant emergency situations
- Inadequate local population data and business intelligence
- Incohesive partnership working
- Insufficient resources and capacity

Existing Risk Controls


Control Title	Control Owner	Control Effectiveness	Next Review Date
Vulnerable people lists	Fraser Crofts	Effective	01 Apr, 2024
Effective network of community support/response	Fraser Crofts	Adequate	01 Apr, 2024
Tayside Local Resilience Partnership	Fraser Crofts	Adequate	01 Apr, 2024
Appropriately skilled staff at Strategic, Tactical and Operational levels	Fraser Crofts	Effective	01 Apr, 2024
Business Continuity / Contingency plans	Fraser Crofts	Effective	02 May, 2023

Risk Actions

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Contribute to Tayside Local Resilience Partnership	Fraser Crofts	Completed	100	01 Apr, 2024	<div><div></div><div></div><div></div><div></div></div> GREEN
Ensure key staff understand and are able to fulfil roles	Fraser Crofts	In Progress	70	01 Apr, 2024	<div><div></div><div></div><div></div><div></div></div> GREEN
Further engage to strengthen community resilience	Fraser Crofts	In Progress	40	01 Apr, 2024	<div><div></div><div></div><div></div><div></div></div> GREEN
Maintain availability of current vulnerable people lists	Fraser Crofts	In Progress	95	01 Apr, 2024	<div><div></div><div></div><div></div><div></div></div> GREEN

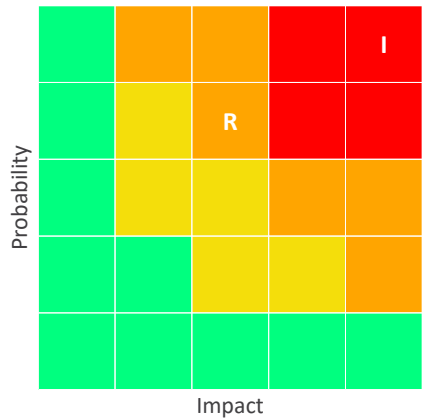
Consequences

- Damage to property and infrastructure
- Damage to the environment
- Detrmental impact on local economy
- Harm to health and wellbeing
- Legal claims and/or financial costs and penalties
- Reputational damage/loss of public confidence
- Unable to deliver essential services

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Maintain currency of plans for foreseeable incidents	Fraser Crofts	In Progress	80	01 Apr, 2024	 GREEN

SRCP-008 There are insufficient financial resources to provide the services that our communities need.				
Risk Category: Finance, Audit, Legislation and Compliance, Contract and Procurement, Environment, Information Technology and Security, People / Human Resource, Property and Assets, Reputation and Public Image, Transformational		Risk Owner: Thomas Glen	Secondary Responsible Persons: Stewart MacKenzie	Last Reviewed Date: 16 Jun, 2023 Next Review Date: 01 Apr, 2024
Organisation > Chief Executive's Services Organisation > Communities Organisation > Corporate and Democratic Services Organisation > Corporate and Democratic Services > Finance Organisation > Education and Children’s Services Organisation > Perth and Kinross Health and Social Care Partnership				

Individual Heatmap



Causes

- Failure to deliver planned savings
- Failure to prioritise/align financial resources to need
- Failure to transform Council services
- High levels of inflation
- Increased ring-fencing of funding
- Increasing and/or more complex needs
- Movements in expenditure
- Movements in financial settlement
- Movements in projected income
- Reduction in local government funding
- The current economic climate and cost of living crisis

Consequences

- Deterioration in quality and safety of assets
- Failure to deliver a balanced budget
- Increase in savings targets and significant reduction in the Council's reserves
- Increased costs through failure demand
- Increased pressures on other parts of public sector or 3rd sector
- Lack of confidence in Council / reputational loss
- Legal /financial claims and penalties for breach of duties and/or injury
- Poorer economic, environmental and/or health and social wellbeing outcomes across Perth and Kinross
- Reduction in availability/quality of services

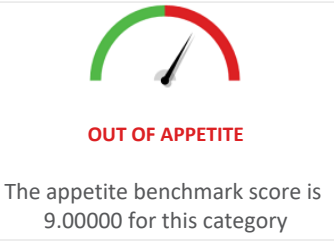
Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Annual Accounts and Statutory Audit Processes	Stewart MacKenzie	Effective	01 Aug, 2023
Medium Term Financial Plan	Stewart MacKenzie	Adequate	01 Aug, 2023
Continuous engagement with management and elected members, e.g. Executive Leadership Group, Conveners, BRGs.	Stewart MacKenzie	Effective	01 Aug, 2023
Revenue and Capital monitoring	Stewart MacKenzie	Adequate	01 Aug, 2023
Treasury Management and Reserves Strategy	Stewart MacKenzie	Adequate	01 Aug, 2023
Capital Budget	Stewart MacKenzie	Adequate	01 Aug, 2023
Transformation and Change Programme	Clare Mailer	Adequate	31 Mar, 2024
Financial Strategy and Principles	Stewart MacKenzie	Adequate	01 Aug, 2023

- I Inherent Risk Assessment
- R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Effective

Risk Appetite



Risk Actions

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Consolidation of the Finance Function	Stewart MacKenzie	Not Started	0	31 Mar, 2024	<div><div></div><div></div><div></div></div> RED

SRCP-009

We have insufficient capacity and skills within the workforce to deliver the services that our communities need

Risk Category: People / Human Resource, Reputation and Public Image

Risk Owner: Karen Donaldson

Secondary Responsible Persons: Charlene Guild, Pauline Johnstone

Last Reviewed Date: 16 Jun, 2023

Next Review Date: 01 Apr, 2024

Organisation > Chief Executive's Services

Organisation > Chief Executive's Services > Innovation

Organisation > Communities

Organisation > Corporate and Democratic Services

Organisation > Corporate and Democratic Services > HR

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap

Probability

I

R

Impact

I

Inherent Risk Assessment

R

Residual Risk Assessment

Effectiveness of control

I

N/A

R

Effective

Risk Appetite

OUT OF APPETITE

Causes

- Difficulties with recruitment, shortages in the labour market
- Difficulties with retention, pay and grade, impact of hybrid working on existing workforce
- Inadequate financial resources
- Inadequate workforce planning (including succession planning, policies & strategies, vacancies management, wage analysis)
- Increase in sickness absence, reduced wellbeing
- Lack of knowledge and expertise in particular areas
- Workforce reduction through restructuring/consolidation as part of transformation and change programme

Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Staff Engagement and Communication Plan	Charlene Guild	Adequate	25 Apr, 2024
Joint Negotiating Committee for Teaching Staff	Karen Donaldson	Effective	01 Dec, 2023
Employees Joint Consultative Committee	Karen Donaldson	Effective	01 Dec, 2023
Leadership Development Programme	Charlene Guild	Adequate	25 Apr, 2024
Wellbeing/resilience/support (including links to partner organisation support resources for care workers)	Charlene Guild	Effective	25 Apr, 2024
Organisational development plan	Charlene Guild	Adequate	01 Oct, 2023
Leadership skills training	Charlene Guild	Adequate	01 May, 2024
Modern Apprentice & Graduate trainee schemes	Pauline Johnstone	Effective	01 Aug, 2023
Workforce planning	Pauline Johnstone	Effective	01 Aug, 2023

Consequences

- Detrimental impact on environmental, economic and health and wellbeing outcomes across Perth and Kinross
- Failure to deliver strategic objectives
- Failure to deliver the services that communities need / poor quality services
- Legal /financial claims and penalties for breach of duties and/or injury
- Poor staff morale, health and wellbeing/ increased staff absence
- Reputational damage/Council being seen as an unattractive employer

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Existing Risk Controls

Control Title	Control Owner	Control Effectiveness	Next Review Date
Hybrid/ new ways of working : guidance and operating models established	Pauline Johnstone	Effective	01 Aug, 2023
Corporate Workforce Plan 2021-2023	Pauline Johnstone	Effective	01 Aug, 2023

Risk Actions

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Employee Offer Experience	Charlene Guild	In Progress	70	31 Mar, 2024	 GREEN
Refresh Health and Wellbeing Plan	Pauline Johnstone	In Progress	20	31 Mar, 2024	 GREEN
Working Smarter Project	Pauline Johnstone	In Progress	35	31 Mar, 2024	 GREEN

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Review, refresh and update planned maintenance programmes	Fraser Crofts	In Progress	50	31 Mar, 2024	 GREEN
Undertake condition and suitability surveys (risk based) across the wider asset estate	Fraser Crofts	In Progress	50	01 Feb, 2024	 GREEN
Use of asset management data to inform capital budget decision-making	Fraser Crofts	In Progress	50	01 Feb, 2024	 GREEN

SRCP-011

The health and safety of staff and the public is not adequately protected

Risk Category: Audit, Legislation and Compliance, People / Human Resource

Risk Owner: Barbara Renton

Secondary Responsible Persons: Mark Butterworth

Last Reviewed Date: 16 Jun, 2023

Next Review Date: 01 Apr, 2024

Organisation > Chief Executive's Services

Organisation > Communities

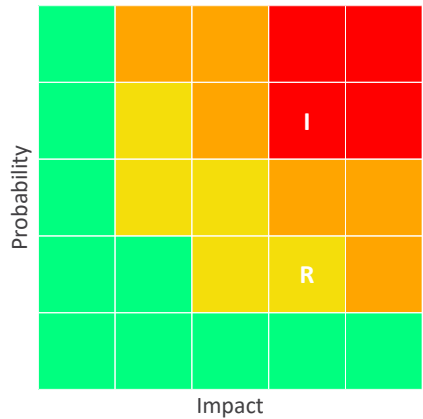
Organisation > Communities > Environment & Consumer Services

Organisation > Corporate and Democratic Services

Organisation > Education and Children’s Services

Organisation > Perth and Kinross Health and Social Care Partnership

Individual Heatmap



I Inherent Risk Assessment
R Residual Risk Assessment

Effectiveness of control	
I	N/A
R	Effective

Risk Appetite



Causes

- Health & safety implications of new ways of working (e.g. hybrid / remote) not fully known/understood
- Inadequate resources and capacity
- Ineffective monitoring, reporting and response
- Lack of understanding /failure to apply legislation
- Under-investment in training and controls

Existing Risk Controls





Control Title	Control Owner	Control Effectiveness	Next Review Date
Partnership working with Director of Public Health ongoing	Mark Butterworth	Effective	01 Apr, 2024
Safe Systems of Work	Mark Butterworth	Effective	01 Apr, 2024
Employees Joint Consultative Committee and Service based Health and Safety Committees	Mark Butterworth	Effective	01 Apr, 2024
Corporate Health & Safety Team	Mark Butterworth	Effective	01 Apr, 2024
Robust Corporate Occupational Health & Safety Policy with supporting arrangement and guidance documents	Mark Butterworth	Effective	01 Apr, 2024
Management and staff training and communication	Mark Butterworth	Effective	01 Apr, 2024

Consequences

- Detrimental impact on health and wellbeing
- Legal /financial claims and penalties for breach of duties and/or injury or death
- Poor working environment and work life balance
- Potential injury/fatality
- Reputational damage/loss of confidence

Risk Actions

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Continual review of risk assessments, safe systems of work and working environments	Mark Butterworth	Ongoing	0	01 Apr, 2024	<div><div></div><div></div><div></div></div> N/A
Health & Safety Key Performance Indicators at both Corporate and Service levels	Mark Butterworth	In Progress	10	01 Apr, 2024	<div><div></div><div></div><div></div></div> RED

Risk Action Title	Responsible Officer	Action Status	% Completed	End Date	Performance
Implementation of Occupational Health and Safety policy and supporting topic specific arrangements	Mark Butterworth	In Progress	10	01 Apr, 2024	 RED
Increased capacity created within Corporate Health and Safety team aimed at Operational Services	Mark Butterworth	In Progress	10	01 Apr, 2024	 RED
Introduction of new digital Corporate Health and Safety management system to allow monitoring and reporting of health and safety	Mark Butterworth	In Progress	10	01 Apr, 2024	 RED
Monitoring and auditing of health and safety practices and procedures both by Management and Corporate Health & Safety Team	Mark Butterworth	In Progress	10	01 Apr, 2024	 RED



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